

# **State of Alaska FY2010 Governor's Operating Budget**

## **Department of Health and Social Services Certification and Licensing Component Budget Summary**

## Component: Certification and Licensing

### Contribution to Department's Mission

The department's mission is to promote and protect the health and well being of Alaskans. Certification and Licensing contributes to this by protecting the health and safety of Alaska's most vulnerable citizens and reducing their risk of exploitation. The section also ensures public confidence in the health care and community service delivery systems through regulatory, enforcement and educational activities. This includes licensure of assisted living and child residential facilities and providers and investigating complaints. Background checks contribute to the health and safety of vulnerable children and adults in long-term care facilities, programs and other licensed and certified activities regulated by the department.

### Core Services

- The section is composed of two programs, the Assisted Living Homes, and the Background Check program.
- The section conducts licensure and certification activities for all assisted living homes and is accountable for background check processing for all licensed and certified programs under the authority of the department.
- The Certification program coordinates the Medicare and Medicaid certification process under agreements between the state and Centers for Medicare and Medicaid Services (CMS).

### FY2010 Resources Allocated to Achieve Results

**FY2010 Component Budget: \$5,404,700**

**Personnel:**

Full time	31
Part time	0
<b>Total</b>	<b>31</b>

### Key Component Challenges

- With new regulations for assisted living and child residential licensing programs, there are additional facilities for the section to monitor. This, in conjunction with 250 or more complaints per year, severely impacts staff workload. Growth in provider numbers continues to outpace an adequate number of staff positions.
- Minimum qualifications for administrators and no minimum staffing requirements for assisted living homes continues to be a factor in the high level of complaints and serious enforcement actions undertaken by the section.
- Lack of a data or an electronic import system for the state licensure of assisted living homes adversely affects the efficiency of the licensure program.
- Recruitment and retention will continue to be a challenge as workload continues to increase.
- Licensure for additional provider types will need to be incorporated into already tight schedules.
- Current Background Check processing only includes health-related providers and does not take into account an additional 2,600 providers to come when child care and foster care providers are transitioned into the program this year.
- With increased facilities comes the expense of additional travel in order to cover onsite visits, which are critical to maintain compliance with new regulations and ensure best practices are implemented.

### Significant Changes in Results to be Delivered in FY2010

The Health Facility Survey program, currently housed in the Certification and Licensing component, will join the Health Care Services RDU in FY2010.

## Major Component Accomplishments in 2008

- The Background Check program has processed over 37,000 applications since implementation on March 31, 2006 – with over 400 individuals disqualified from becoming service providers due to barring criminal conditions.
- Maintained licensure and inspection for over 750 residential child, assisted living and health care facilities.
- Investigated complaints and took enforcement actions when necessary for more than 530 complaints.
- The Background Check program continues to improve an online web-based application process for background checks and is nearing implementation for a Rural Live Scan electronic fingerprinting system.
- Staffing for the Background Check program has increased to handle current workload and the anticipated increase of 2,600 additional applications with the transitioning of child care and foster care into the process.
- The Background Check program has continued partnering with local, state, and federal agencies to collaboratively participate in information sharing and development.
- Certification and Licensing continues to be a participant in the State Care Circle, which includes representatives from Adult Protective Services, division and department level Quality Assurance programs, Office of the Long Term Care Ombudsman, and Medicaid Fraud. This group of state agencies meets on a regular basis to refine communications, problem-solve responses to complaints or jurisdictional issues and plan projects that will benefit persons receiving services in residential programs. This has reduced duplication of services and benefited common providers in streamlining state involvement.
- Partnerships continue between the Assisted Living Home Program and the Anchorage Municipal Fire Department in an effort to share agency information and also to develop and sustain reasonable and applicable safety standards for both small assisted living homes and large facilities.
- The Assisted Living Home program continues to work with Anchorage Police Department's officer dispatch unit. This partnership will increase officers' awareness that they are responding to a call involving a licensed home with vulnerable persons at risk and also provide a direct mechanism to notify licensure staff of any unsafe conditions occurring at a licensed home. Updated lists of the Anchorage homes are sent routinely to Anchorage Police Department Dispatch.
- Section partnership with direct care providers and entities grew to over 860 entities currently using the Background Check program under the oversight of the Divisions of Public Health, Senior and Disabilities Services and Behavioral Health.
- Streamlined regional travel obligations to better allocate travel dollars.
- Successfully implemented a centralized application process involving assisted living homes, which improved consistency and communication with applicants.
- Two areas of the assisted living application process were enhanced to better screen applicants for licensure and ensure the stability of new homes.
- Continued to take the lead, participate in multi-agency regulation projects and implement SB 125, the certification and licensing consolidation bill.
- Increased consumer awareness of the complaint investigation system through better education and communications.
- Established criteria to assess an assisted living caregiver's language ability to access emergency services and established application criteria for large agency-owned homes.
- Equalized caseloads and assigned regional areas to licensing specialists to increase connections and communication with community partners.
- State licensure staff continues to receive investigative training and began participation in new ongoing online training developed by a nationally recognized licensure organization.
- Partnership commenced with other licensure units within Office of Children's Services and Child Care Program Office to increase communication, consistency in applying standards and share resources.

## Statutory and Regulatory Authority

Alaska Statutes:

AS 18.20 Hospitals and Nursing Facilities

AS 47.05 Criminal History and Registry

AS 47.07 Medical Assistance for Needy Persons

AS 47.08 Assistance for Catastrophic Illness and Chronic or Acute Medical Conditions

AS 47.25 Public Assistance

AS 47.32 Centralized Licensing and Related Administrative Procedures

AS 47.33 Assisted Living Homes

Social Security Act:

Title XVIII Medicare

Title XIX Medicaid

Title XXI Children's Health Insurance Program

Administrative Code:

7 AAC 10 Licensing, Certification and Approvals (New Proposed Section as part of the licensing consolidation.)

7 AAC 43 Medical Assistance

7 AAC 48 Chronic Illness and Chronic and Acute Medical Assistance

7 AAC 75 Assisted Living Homes

7AAC 41 Public Assistance and Medical Assistance

7 AAC 50 Community Care Licensing for Residential Child and Foster

Contact Information
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**Certification and Licensing  
Component Financial Summary**

*All dollars shown in thousands*

	<b>FY2008 Actuals</b>	<b>FY2009 Management Plan</b>	<b>FY2010 Governor</b>
<b>Non-Formula Program:</b>			
<b>Component Expenditures:</b>			
71000 Personal Services	2,698.1	3,513.7	2,454.5
72000 Travel	205.6	391.4	237.3
73000 Services	2,247.0	2,660.5	2,623.3
74000 Commodities	146.4	89.6	89.6
75000 Capital Outlay	34.4	0.0	0.0
77000 Grants, Benefits	0.0	0.0	0.0
78000 Miscellaneous	0.0	0.0	0.0
<b>Expenditure Totals</b>	<b>5,331.5</b>	<b>6,655.2</b>	<b>5,404.7</b>
<b>Funding Sources:</b>			
1002 Federal Receipts	2,690.0	3,640.1	2,565.3
1003 General Fund Match	281.3	247.7	145.1
1004 General Fund Receipts	921.5	948.0	874.1
1007 Inter-Agency Receipts	5.7	13.0	13.0
1037 General Fund / Mental Health	119.2	120.0	120.8
1156 Receipt Supported Services	1,313.8	1,686.4	1,686.4
<b>Funding Totals</b>	<b>5,331.5</b>	<b>6,655.2</b>	<b>5,404.7</b>

**Estimated Revenue Collections**

<b>Description</b>	<b>Master Revenue Account</b>	<b>FY2008 Actuals</b>	<b>FY2009 Management Plan</b>	<b>FY2010 Governor</b>
<b>Unrestricted Revenues</b>				
None.		0.0	0.0	0.0
<b>Unrestricted Total</b>		<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
<b>Restricted Revenues</b>				
Federal Receipts	51010	2,690.0	3,640.1	2,565.3
Interagency Receipts	51015	5.7	13.0	13.0
Receipt Supported Services	51073	1,313.8	1,686.4	1,686.4
<b>Restricted Total</b>		<b>4,009.5</b>	<b>5,339.5</b>	<b>4,264.7</b>
<b>Total Estimated Revenues</b>		<b>4,009.5</b>	<b>5,339.5</b>	<b>4,264.7</b>

**Summary of Component Budget Changes  
From FY2009 Management Plan to FY2010 Governor**

*All dollars shown in thousands*

	<u>General Funds</u>	<u>Federal Funds</u>	<u>Other Funds</u>	<u>Total Funds</u>
<b>FY2009 Management Plan</b>	<b>1,315.7</b>	<b>3,640.1</b>	<b>1,699.4</b>	<b>6,655.2</b>
<b>Adjustments which will continue current level of service:</b>				
-Transfer Health Facility Surveyor PCNs and funding to Health Care Services	-206.7	-1,260.1	0.0	-1,466.8
-FY2010 Wage and Health Insurance Increases for Bargaining Units with Existing Agreements	31.0	185.3	0.0	216.3
<b>FY2010 Governor</b>	<b>1,140.0</b>	<b>2,565.3</b>	<b>1,699.4</b>	<b>5,404.7</b>

**Certification and Licensing  
Personal Services Information**

Authorized Positions			Personal Services Costs	
	FY2009 Management Plan	FY2010 Governor		
Full-time	43	31	Annual Salaries	1,497,522
Part-time	0	0	COLA	61,939
Nonpermanent	0	0	Premium Pay	26,231
			Annual Benefits	890,941
			<i>Less 0.89% Vacancy Factor</i>	(22,133)
			Lump Sum Premium Pay	0
<b>Totals</b>	<b>43</b>	<b>31</b>	<b>Total Personal Services</b>	<b>2,454,500</b>

**Position Classification Summary**

Job Class Title	Anchorage	Fairbanks	Juneau	Others	Total
Administrative Clerk II	1	0	0	0	1
Administrative Clerk III	4	0	0	0	4
Assoc Coordinator	1	0	0	0	1
Certification/Licensing Admstr	1	0	0	0	1
Community Care Lic Spec I	9	0	0	0	9
Community Care Lic Spec II	3	0	0	0	3
Community Care Lic Spec III	1	0	0	0	1
Criminal Justice Technician I	5	0	0	0	5
Criminal Justice Technician II	3	0	0	0	3
Prog Coordinator	1	0	0	0	1
Records & Licensing Spvr	1	0	0	0	1
Social Svcs Prog Officer	1	0	0	0	1
<b>Totals</b>	<b>31</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>31</b>